

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHODS OF FORMING PROTEIN-LINKED LIPIDIC MICROPARTICLES, AND COMPOSITIONS THEREOF** the specification of which ___ is attached hereto or X was filed on May 12, 1998 as Application No. 09/076,618 and was amended on ___ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119
			Yes _ No _
			Yes _ No _

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

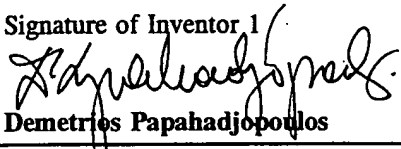
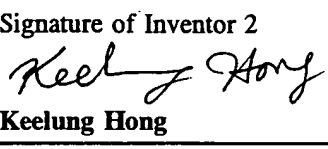
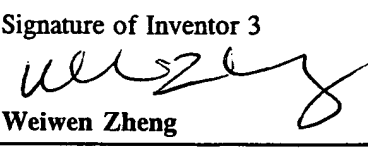
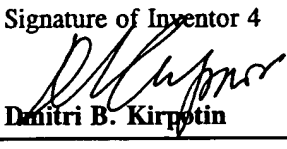
Application No.	Filing Date
60/030,578	November 12, 1996

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
08/967,791	November 10, 1997	_ Patented <u>x</u> Pending _ Abandoned
		_ Patented _ Pending _ Abandoned

Full Name of Inventor 1	Last Name Papahadjopoulos	First Name Demetrios	Middle Name or Initial	
Residence & Citizenship	City San Francisco	State/Foreign Country CA	Country of Citizenship United States	
Post Office Address	Post Office Address 3521 Sacramento Street	City San Francisco	State/Country CA/USA	Zip Code 94118
Full Name of Inventor 2	Last Name Hong	First Name Keelung	Middle Name or Initial	
Residence & Citizenship	City San Francisco	State/Foreign Country CA	Country of Citizenship United States	
Post Office Address	Post Office Address 1360 De Haro Street	City San Francisco	State/Country CA/USA	Zip Code 94107
Full Name of Inventor 3	Last Name Zheng	First Name Weiwen	Middle Name or Initial	
Residence & Citizenship	City San Francisco	State/Foreign Country CA	Country of Citizenship People's Republic of China	
Post Office Address	Post Office Address 1915 San Jose Avenue	City San Francisco	State/Country CA/USA	Zip Code 94112
Full Name of Inventor 4	Last Name Kirpotin	First Name Dmitri	Middle Name or Initial B.	
Residence & Citizenship	City San Francisco	State/Foreign Country CA	Country of Citizenship Russian Republic	
Post Office Address	Post Office Address 435 43rd Avenue	City San Francisco	State/Country CA/USA	Zip Code 94121
Full Name of Inventor 5	Last Name	First Name	Middle Name or Initial	
Residence & Citizenship	City	State/Foreign Country	Country of Citizenship	
Post Office Address	Post Office Address	City	State/Country	Zip Code
Full Name of Inventor 6	Last Name	First Name	Middle Name or Initial	
Residence & Citizenship	City	State/Foreign Country	Country of Citizenship	
Post Office Address	Post Office Address	City	State/Country	Zip Code

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Demetrios Papahadjopoulos	Signature of Inventor 2  Keelung Hong	Signature of Inventor 3  Weiwen Zheng
Date 7/1/98	Date 7/1/98	Date 7/1/98
Signature of Inventor 4  Dmitri B. Kirpotin	Signature of Inventor 5	Signature of Inventor 6
Date 7/1/98	Date	Date

DEC-6.MRG 8/96

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FORM PTO-1595
(Rev. 6-93)RECORDATION FORM COVER SHEET
PATENTS ONLYU.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Demetrios Papahadjopoulos
Keelung Hong
Weiwen Zheng
Dmitri B. Kirpotin

2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Internal Address:

Street Address: 1111 Franklin Street, 12th Floor

City: Oakland State: CA ZIP: 94607-5200

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ NoAdditional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: 7/1/98

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 09/076,618

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Laurence J. Hyman
TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-02006. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41):..... \$ 40.00

- ☐ Enclosed ☒ Charge Fees to Deposit Account
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Laurence J. Hyman
Name of Person Signing

Signature

July 24, 1998
Date

Atty. Reg. No. 35,551

Total number of pages including cover sheet, attachments, and document: 10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

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Asst. Commissioner for Patents
Box Assignments
Washington, D.C. 20231

ASSIGNMENTU.C. Case No. 98-197-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Demetrios Papahadjopoulos2. Keelung Hong3. Weiwen Zheng4. Dmitri B. Kirpotin

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

METHODS OF FORMING PROTEIN-LINKED LIPIDIC MICROPARTICLES, AND COMPOSITIONS THEREOF

and which is found in

(a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors

(b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors

(c) X _____ U.S. application serial no. 09/076,618, filed on May 12, 1998

(d) _____ U.S. Patent No.: , issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

1st day of July, 19981st day of July, 19981st day of July, 19981st day of July, 1998

Signature of Inventor(s)

Demetrios Papahadjopoulos
Keelung Hong
Weiwen Zheng
Dmitri B. Kirpotin



72307E-07142045
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
LSH

OCTOBER 30, 1998

PTAS

TOWNSEND AND TOWNSEND AND CREW LLP
LAURENCE J. HYMAN
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CA 94111-3834



100791802A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/28/1998

REEL/FRAME: 9369/0493

NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PAPAHADJOPOULOS, DEMETRIOS

DOC DATE: 07/01/1998

ASSIGNOR:

HONG, KEELUNG

DOC DATE: 07/01/1998

ASSIGNOR:

ZHENG, WEIWEN

DOC DATE: 07/01/1998

ASSIGNOR:

KIRPOTIN, DMITRI B.

DOC DATE: 07/01/1998

ASSIGNEE:

REGENTS OF THE UNIVERSITY OF
CALIFORNIA, THE
1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CALIFORNIA 94607-5200

SERIAL NUMBER: 09076618

PATENT NUMBER:

FILING DATE: 05/12/1998

ISSUE DATE:

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9369/0493 PAGE 2

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RECORD

08-12-1998

E-071420/UC Case No. 98-197-1

DEPARTMENT OF COMMERCE
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please

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is or copy thereof.

1. Name of conveying party(ies):

Demetrios Papahadjopoulos
Keelung Hong
Weiwen Zheng
Dmitri B. Kirpotin

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City: Oakland State: CA ZIP: 94607-5200

Additional name(s) & address(es) attached? ☐ Yes ☒ No

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- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: 7/1/98

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A. Patent Application No.(s) 09/076,618

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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Name: Laurence J. Hyman
TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41):..... \$ 40.00

- ☐ Enclosed ☒ Charge Fees to Deposit Account
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account

8. Deposit account number: 20-1430

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Laurence J. Hyman
Name of Person Signing

Signature

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Date

Atty. Reg. No. 35,551

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Box Assignments
Washington, D.C. 20231

ASSIGNMENTU.C. Case No. 98-197-1

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- | | |
|-------------------------------------|------------------------------|
| 1. <u>Demetrios Papahadjopoulos</u> | 2. <u>Keelung Hong</u> |
| 3. <u>Weiwen Zheng</u> | 4. <u>Dmitri B. Kirpotin</u> |

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METHODS OF FORMING PROTEIN-LINKED LIPIDIC MICROPARTICLES, AND COMPOSITIONS THEREOF

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) X _____ U.S. application serial no. 09/076,618, filed on May 12, 1998
- (d) _____ U.S. Patent No.: , issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

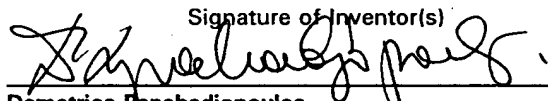
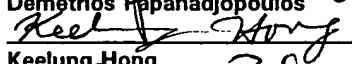
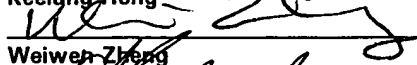

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

1st day of July, 1998
1st day of July, 1998
1st day of July, 1998
1st day of July, 1998

Signature of Inventor(s)

 Demetrios Papahadjopoulos

 Keelung Hong

 Weiwen Zheng

 Dmitri B. Kirpotin

Applicant or Patentee: Demetrios Papahadiopoulos, et al. Docket No. 02307E-071420
Serial or Patent No.: 09/076,618 U. C. Case No. 98-197-1
Filed or Issued: May 12, 1998
For: Methods of Forming Protein-Linked Lipidic Microparticles, and Compositions Thereof

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR § 1.9(f) and § 1.27(d)]--NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: The Regents of the University of California
ADDRESS OF ORGANIZATION: 1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 601(c) (3)]
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 501(c) (3)] IF
LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES
OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled Methods of Forming Protein-Linked Lipidic Microparticles, and Compositions Thereof by inventor(s) Dr. Demetrios Papahadiopoulos, Dr. Keelung Hong, Dr. Weiwen Zheng, Dr. Dmitri B. Kirpotin described in

☐ the specification filed herewith
☒ application serial no. 09/076,618 filed 5/12/98
☐ Patent no. _____ issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention [except for a license to a Federal Agency pursuant to USC § 202 (c) (4)].

If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR § 1.27).

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR § 1.28(b)]

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine of imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: Linda S. Stevenson
TITLE IN ORGANIZATION: Principal Prosecution Analyst, Office of Technology Transfer
ADDRESS OF PERSON SIGNING: 1111 Franklin Street, 5th Floor
Oakland, California 94607-5200

SIGNATURE Linda S. Stevenson

DATE 7/17/98